



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/042,935	01/09/2002	Yonglin Huang	5717-01601

CONFIRMATION NO. 4597

FORMALITIES LETTER



000000007461363

B. Noel Kivlin
Conley, Rose, & Tayon, P.C.
P.O. Box 398
Austin, TX 78767

Date Mailed: 02/12/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 870.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

FEB 13 2002



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:
Yonglin Huang, Kevin Zhang,
and Ping Xie

Serial No. 10/042,935

Filed: January 9, 2002

For: Fiber Optical Devices with
High Power Handling Capability

Group Art Unit: 2873

Examiner: Unknown

Atty. Dkt. No.: 5717-01601

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as First Class Mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231, on the date indicated below:

B. Noel Kivlin
Name of Registered Agent

4-12-02
Date

[Signature]
Signature

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

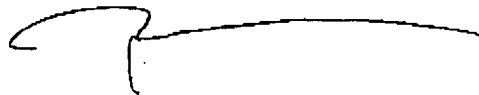
Enclosed herewith is the following with regard to the above-identified application:

- (a) An Assignment of the invention executed by the inventor(s).
- (b) A combined Declaration and Power of Attorney executed by the inventor(s)
- (c) A Fee Authorization in the amount of \$910.00 to cover the filing fee for large entity (\$740.00), assignment (\$40.00), and surcharge for late filing of oath or declaration for large entity (\$130.00).
- (d) A copy of Notice to File Missing Parts of Application Filing Date Granted.

- (e) A return postcard to acknowledge receipt of these materials. Please stamp and return this postcard to the undersigned.

If any fees are inadvertently omitted or if any additional fees are required or have been overpaid, please appropriately charge or credit those fees to Conley, Rose & Tayon, P.C. Deposit Account Number 501505/5717-01601/BNK.

Respectfully submitted,



B. Noël Kivlin
Reg. No. 33,929
Attorney for Applicants

Conley, Rose & Tayon, P.C.
P.O. Box 398
Austin, Texas 78767-0398
Ph: (512) 476-1400
Date: 4-12-02



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:
Yonglin Huang, Kevin Zhang,
and Ping Xie

Serial No. 10/042,935

Filed: January 9, 2002

For: Fiber Optical Devices with
High Power Handling Capability

§ Group Art Unit: 2873

§ Examiner: Unknown

§ Atty. Dkt. No.: 5717-01601

§ I hereby certify that this correspondence is being deposited with
§ the U.S. Postal Service as First Class Mail in an envelope
§ addressed to: Commissioner of Patents and Trademarks,
§ Washington, D.C. 20231, on the date indicated below:

§ B. Noël Kivlin
§ Registered Representative

§ 4-12-02
§ Date

§ Signature

FEE AUTHORIZATION

Commissioner for Patents
Washington, D.C. 20231

The Commissioner is hereby authorized to charge the following fee to Conley, Rose & Tayon, P.C. Deposit Account Number 50-1505/5717-01601/BNK:

Basic Fee	\$740.00
Assignment Fee	\$40.00
Total	\$910.00

Attorney Docket No.: 5717-01601

The Commissioner is also authorized to charge any extension fee or other fees which may be necessary to the same account number. If the abovementioned account is found to have insufficient funds, the Commissioner is authorized to charge Conley, Rose & Tayon, P.C. Deposit Account Number 50-1623/5717-01601/BNK.

Respectfully submitted,

B. Noël Kivlin
Reg. No. 33,929
Attorney for Applicants

Conley, Rose & Tayon, P.C.
P.O. Box 398
Austin, Texas 78767-0398
Ph: (512) 476-1400
Date: 4-12-02

0410



Attorney's Docket No.: 13837-041001

OFFICIAL COMMUNICATION

FACSIMILE

FAX NO: 703-746-4060 (OIPE)

Number of pages including this page 14

Applicant : Huang et al.
Serial No. : 10/042,935
Filed : January 9, 2002

Art Unit : Unknown
Examiner : Unknown

FACSIMILE COMMUNICATION

Title : Fiber Optical Devices With High Power Handling Capability

Commissioner for Patents
Washington, D.C. 20231

Sir:

Attached to this facsimile communication cover sheet is a Response to the Request for Substitute Papers, including a copy of the Response to Notice to File Missing Parts that was filed on April 12, 2002, faxed this 28th day of February 2003 to the United States Patent and Trademark Office.

Respectfully submitted,

Paul A. Levy
Reg. No. 45,748

Date: February 28, 2003

Fish & Richardson P.C.
45 Rockefeller Plaza, Suite 2800
New York, New York 10111
Telephone: (212) 765-5070
Fax: (212) 258-2291

30137580.doc

NOTE: This facsimile is intended for the addressee only and may contain privileged or confidential information. If you have received this facsimile in error, please immediately call us collect at (212) 765-5070 to arrange for its return. Thank you.

Received from <+2122582291> at 2/28/03 3:25:40 PM [Eastern Standard Time]

13837-041001



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231
www.uspto.gov

Application Number	Filing Date	First Named Applicant	Atty. Docket No.
10/042,935	01/09/2002	Huang, Yonglin	5717-01601

Paul A. Levy
Fish & Richardson P.C.
45 Rockefeller Plaza, Suite 2800
New York NY 10111

RECEIVED

FEB 25 2003

FISH & RICHARDSON, P.C.
NEW YORK CITY OFFICE

Date Mailed: 02/20/2003

Title: Fiber optical devices with high power handling capability

Request for Substitute Papers

The papers filed on 04/22/2002 (certificate of mailing dated 04/12/2002) are no longer in condition to become part of the permanent records of the United States Patent and Trademark Office (USPTO) for this application (37 CFR 1.52(a)) due to the United States Postal Service sanitization process.

The USPTO requests that applicant provide a copy of the above-identified papers (except for any U.S. or foreign patent documents submitted with the above-identified papers) with a statement that such copy is a complete and accurate copy of the above-identified papers (signing and returning a copy of this notice will provide such a statement). The reply to this letter should be submitted to the USPTO by facsimile at the number indicated **703-746-4060(OIPE)**.

Alternatively, the reply to this letter may be hand-carried to the Customer Service Window located in Room 1B03 of Crystal Plaza Building 2, Arlington, Virginia, 22202.

The USPTO **strongly** prefers that the reply to this letter be submitted by facsimile. However, if applicant cannot submit the reply to this letter by facsimile (or hand-delivery), the reply may be mailed to: Box Duplicate OIPE, U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202-2327.

This letter is not a notice under 37 CFR 1.251. However, failure to timely replay to this notice within **two (2) weeks** of the date of receipt of this letter may result in the USPTO issuing a notice under 37 CFR 1.251. **A copy of this notice should be included with the reply.**

The enclosed papers are a complete and accurate copy of the above-identified papers.

Name: PAUL A. LEVY Registration No.: 45,748Signature: [Signature] Date: 2/28/03



ASSISTANT COMMISSIONER OF PATENTS AND TRADEMARKS
WASHINGTON, D.C. 20231

Inventor(s): Yonglin Huang, Kevin Zhang and Ping Xie
Assignee: New Focus, Inc.
Serial No.: 10/042,935
Filed: January 9, 2002
Title: FIBER OPTICAL DEVICES WITH HIGH POWER HANDLING CAPABILITY



Attorney Docket No.: 5717-01601

The date stamp of the mail room of the U.S. Patent and Trademark Office hereon will acknowledge receipt of the attached 1) Copy of Notice To File Missing Parts; 2) Response to Notice to File Missing Parts; 3) Assignment (with cover form); 4) Combined Declaration and Power of Attorney; 5) Fee Authorization; and 6) A Return Postcard.

BNK:ka

Via First Class Mail

Date: 4/18/02

NG

will
use
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